

06/26/01

1c639 U.S. PTO

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PTO/SB/05 (03-01)

# UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. **1584/65396**  
 First Inventor **Randy Prager, et al.**  
 Title **Enterprise, Stream-Based, Information Management System**  
 Express Mail Label No. **EL628789655US**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
 (Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
 See 37 CFR 1.27.
3. ☒ Specification [Total Pages **29**]  
 (preferred arrangement set forth below)  
 - Descriptive title of the invention  
 - Cross Reference to Related Applications  
 - Statement Regarding Fed sponsored R & D  
 - Reference to sequence listing, a table,  
 or a computer program listing appendix  
 - Background of the invention  
 - Brief Summary of the invention  
 - Brief Description of the Drawings (if filed)  
 - Detailed Description  
 - Claim(s)  
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **9**]
5. Oath or Declaration [Total Pages **1**]  
 a. ☐ Newly executed (original or copy)  
 b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
 (for continuation/divisional with Box 18 completed)
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, DC 20231

7. ☒ CD-ROM or CD-R in duplicate, large table or  
 Computer Program (Appendix)  
 8. Nucleotide and/or Amino Acid Sequence Submission  
 (if applicable, all necessary)  
 a. ☐ Computer Readable Form (CRF)  
 b. Specification Sequence Listing on:  
 i. ☐ CD-ROM or CD-R (2 copies); or  
 ii. ☐ paper  
 c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))  
 10. ☐ 37 CFR 3.73(b) Statement [Power of Attorney  
 (when there is an assignee)]  
 11. ☐ English Translation Document (if applicable)  
 12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [Copies of IDS  
 Citations]  
 13. ☐ Preliminary Amendment  
 14. ☒ Return Receipt Postcard (MPEP 503)  
 (Should be specifically itemized)  
 15. ☐ Certified Copy of Priority Document(s)  
 (if foreign priority is claimed)  
 16. ☐ Nonpublication Request under 35 U.S.C. 122  
 (b)(2)(B)(i). Applicant must attach form PTO/SB/35  
 or its equivalent.  
 17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
 or in an Application Data Sheet under 37 CFR 1.76:

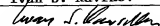
☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No. **09/398,611 & 09/673,255**  
 Prior application information: Examiner **W. Amsbury** Group Art Unit **2771**

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
 Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
 The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label  or ☐ Correspondence address below

Name **23432**  
 Address **PATENT TRADEMARK OFFICE**  
 City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_  
 Country \_\_\_\_\_ Telephone \_\_\_\_\_ Fax \_\_\_\_\_

Name (Print/Type) **Ivan S. Kavrov** Registration No. (Attorney/Agent) **25,161**  
 Signature  Date **June 26, 2001**

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 the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC  
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09/692256

06/26/01

RECEIVED: 06/26/01

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$)**710.00**

## Complete if Known

Application Number \_\_\_\_\_  
 Filing Date \_\_\_\_\_  
 First Named Inventor **Randy Prager, et al.**  
 Examiner Name \_\_\_\_\_  
 Group Art Unit \_\_\_\_\_  
 Attorney Docket No. **1584/65396**

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **03-3125**  
 Deposit Account Name **Cooper & Dunham LLP**

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status See 37 CFR 1.22

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee Code	Fee Description	Fee Paid
Fee (\$)	Fee (\$)				
101	710	201	355	Utility filing fee	<b>\$710</b>
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
SUBTOTAL (1)					<b>(\$)<b>710</b></b>

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity	Small Entity	Fee Code	Fee Code	Fee Description
Fee (\$)	Fee (\$)			
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**710**

\*\*for number previously paid, if greater; For Reissues, see above

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee Code	Fee Description	Fee Paid
Fee (\$)	Fee (\$)				
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or resouse)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) _____					

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**710**

## SUBMITTED BY

Name (Print/Type) **Ivan S. Kavrukov**

Signature

Registration No. (Attorney/Agent) **25,161**

## Complete (if applicable)

Telephone **212-278-0400**

Date **June 26, 2001**

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of : Randy Prager, et al.

Serial No. :

Group Art Unit:

Date Filed : Concurrently Herewith

Examiner:

For : ENTERPRISE, STREAM-BASED,  
INFORMATION MANAGEMENT SYSTEM

1185 Avenue of the Americas  
New York, N.Y. 10036

Assistant Commissioner for Patents

**Box Patent Application**  
Washington, D.C. 20231

**TRANSMITTAL LETTER IN ACCORDANCE WITH 37 C.F.R. §1.52(e)(ii)**

Sir:

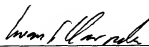
The two compact discs submitted herewith and labeled "Copy 1" and "Copy 2" are identical.

Machine Format: IBM/PC

Operating System: MS-Windows NT/2000

List of Files: Attached

Respectfully submitted,



Ivan S. Kavrukov, Reg. No. 25,161  
Attorney for Applicants  
Cooper & Dunham LLP  
Tel.: (212) 278-0400

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of : Randy Prager, et al.

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New York, N.Y. 10036

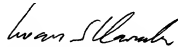
Assistant Commissioner for Patents  
**Box Patent Application**  
Washington, D.C. 20231

**EXPRESS MAIL  
LETTER OF TRANSMITTAL**

Express Mail mailing label number: EL628789655US

Date of Deposit: June 26, 2001

I hereby certify that the above-identified application consisting of a 29-page specification, 9 sheets of drawings (Figs 1-10 ), attached Transmission Letter in Accordance With 37 C.F.R. 1.52(e)(ii) with enclosed compact disk and list of files in hard-copy (in duplicate, with CD Copy 1 and CD Copy 2), Information Disclosure Statement, form PTO-1449 and a copy of the cited reference, Utility Patent Application Transmittal, and a check for the \$710 filing fee are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.



Person Depositing Express Mail Material

Attorney for Applicant:

IVAN S. KAVRUKOV, Reg. No. 25,161  
Cooper & Dunham LLP  
Tel: (212) 278-0400